

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Hiroshi ITO, et al.

Application No.: 10/524,975

Filed: February 18, 2005

Group No.: 1796

Examiner: P.D. Niland

Confirmation No. 5591

For: WATER BASE INK COMPOSITION, METHOD OF INK JET RECORDING  
THEREWITH AND RECORD

## Commissioner for Patents

P. O. Box 1450

Alexandria, VA 22313-1450

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
BEFORE MAILING DATE OF EITHER A FINAL ACTION  
OR NOTICE OF ALLOWANCE (37 C.F.R. 1.97(c))

NOTE: 37 C.F.R. 1.97: "(c) An information disclosure statement shall be considered by the Office if filed after the period specified in paragraph (b) of this section, provided that the information disclosure statement is filed before the mailing date of any of a final action under § 1.13, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application, and it is accompanied by one of:

- (1) The statement specified in paragraph (e) of this section; or
- (2) The fee set forth in § 1.17(p)."

NOTE: "If a final action or notice of allowance is mailed in an application and later withdrawn, the application will be considered as not having had a final action or notice of allowance mailed for purposes of considering an information disclosure statement." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

## CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10\*

(When using Express Mail, the Express Mail label number is **mandatory**;  
Express Mail certification is **optional**.)

I hereby certify that, on the date shown below, this correspondence is being:

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37 C.F.R. 1.8(a)

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| <p><input type="checkbox"/> 37 C.F.R. 1.10*</p> <p><input type="checkbox"/> as "Express Mail-Post Office to Address"<br/>Mailing Label No. _____ (mandatory)</p> | <p><input checked="" type="checkbox"/> EFS-WEB</p> <p><input checked="" type="checkbox"/> transmitted electronically</p> |
| <p>Signature</p> <p>CLIFFORD J. MASS<br/>(type or print name of person certifying)</p>   |  |

Date: November 17, 2009

\* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f).

Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

**NOTE:** 37 C.F.R. § 1.704(d): "A paper containing only an information disclosure statement in compliance with §§ 1.97 and 1.98 will not be considered a failure to engage in reasonable efforts to conclude prosecution (processing or examination) of the application under paragraphs (c)(6), (c)(8), (c)(9), or (c)(10) of this section if it is accompanied by a statement that each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the information disclosure statement. This thirty-day period is not extendable."

**NOTE:** "If information submitted during the period set forth in 37 C.F.R. 1.97(c) with a certification is used in a new ground of rejection on unamended claims, the next Office action will not be made final since in this situation it is clear that applicant has submitted the information to the office promptly after it has become known and the information is being submitted prior to a final determination on patentability by the Office. However, the information submitted with a certification can be used in a new ground of rejection and the next Office action made final, [i]f the new ground of rejection was necessitated by amendment of the application by applicant. Where the information is submitted during this period with a fee, the examiner may use the information submitted, e.g., printed publication or evidence of public use, and make the next Office action final whether or not the claims have been amended, provided that no other new ground of rejection which was not necessitated by amendment to the claims is introduced by the examiner. See MPEP 706.07(a). If a new ground of rejection is introduced that is neither necessitated by an amendment to the claims nor based on the information submitted with the fee set forth in 37 C.F.R. 1.17(p), the Office action shall not be made final. Notice of April 20, 1992 (1138 O.G. 37-41, 39).

**WARNING:** "A petition for suspension of action to allow applicant time to submit an information disclosure statement will be denied as failing to present good and sufficient reasons, since 37 C.F.R. 1.97 provides adequate recourse for the timely submission of prior art for consideration by the examiner." Notice of July 6, 1992 (1141 O.G. 63). But see § 103(b) and (c), limited suspension of action in a continued prosecution application (CPA) filed under § 1.53(d) and in a request for continued examination (RCE) under § 1.114.

**WARNING:** No extension of time can be had under 37 C.F.R. 1.136(a) or (b) for filing an IDS. 37 C.F.R. 1.97(f).

## TIME OF TRANSMITTAL OF ACCOMPANYING INFORMATION DISCLOSURE STATEMENT

1. The information disclosure statement transmitted herewith is being filed *after* three months of the filing date of this national application or the date of entry of the national stage as set forth in § 1.491 in an international application or after the mailing date of the first Office action on the merits, whichever event occurred last but *before* the mailing date of either:
  - (1) a final action under § 1.113 or
  - (2) a notice of allowance under § 1.311,

whichever occurs first.

## STATEMENT OR FEE

2. Accompanying this transmittal is  
(check either A or B below)
  - A. [ ] a statement as specified in 37 C.F.R. 1.97(e).
  - OR
  - B. [x] the fee set forth in 37 C.F.R. 1.17(p) for submission of an information disclosure statement under § 1.97(c). (\$180.00).

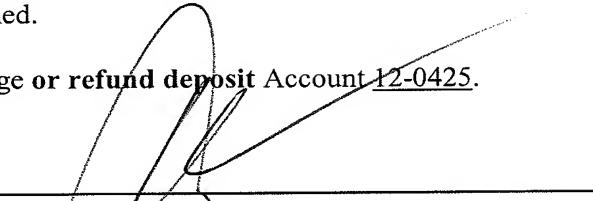
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3.

Attached is a check in the amount of \$ \_\_\_\_\_.  
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A duplicate of this request is attached.

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Reg. No.: 30086

  
SIGNATURE OF PRACTITIONER

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CLIFFORD J. MASS

*(Type or print name of practitioner)*

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00140

PATENT TRADEMARK OFFICE

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**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Hiroshi **ITO**, et al.

Serial No.: 10/524,975

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Examiner: P.D. Niland

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For: WATER BASE INK COMPOSITION, METHOD OF INK JET RECORDING  
THEREWITH AND RECORD

Attorney Docket No.: **U 015637-2**

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

We draw the attention of the Examiner to the attached references (first page only for U.S. patent publications) which were cited in the corresponding U.S. Application No. 11/338,440 and which are also listed on the attached Form PTO-1449.

Respectfully submitted,  
  
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**CERTIFICATE OF MAILING/TRANSMISSION (37 CFR 1.8a)**

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